

Element Performance Inspection (EPI) Data Collection Tool
3.1.13 Other Personnel with Operational Control (OP)

ELEMENT SUMMARY INFORMATION

Purpose of this Element (certificate holder's responsibility):

- To ensure that only authorized personnel that are delegated by the director of operations exercise operational control of supplemental operations.

Objective (FAA oversight):

- To determine if the certificate holder follows its procedures, controls, process measurements, and interfaces for the Other Personnel with Operational Control process.
- To determine the effectiveness of the certificate holder's procedures in meeting the desired output of the process.
- To determine if there were any changes in the personnel identified by the certificate holder as having responsibility and/or authority for the Other Personnel with Operational Control process.

Specific Instructions:

- Intentionally Left Blank

Related EPIs:

- 2.1.5 Supplemental Operations Manual Requirements (AW)
- 2.1.5 Supplemental Operations Manual Requirements (OP)
- 3.1.4 Operational Control (OP)
- 3.2.1 Dispatch / Flight Release (OP)
- 3.2.2 Flight / Load Manifest / Weight and Balance Control (OP)
- 3.2.3 MEL / CDL Procedures (OP)
- 4.2.11 Training of Flight Followers (OP)

SUPPLEMENTAL INFORMATION

Specific Regulatory Requirements (SRRs):

- SRRs:
 - 121.135(a)(1)
 - 121.135(b)(1)
 - 121.135(b)(2)
 - 121.135(b)(3)
 - 121.135(b)(4)
 - 121.537(a)
 - 121.537(a)(1)
 - 121.537(a)(2)
 - 121.537(b)
 - 121.537(c)
 - 121.537(d)
 - 121.537(e)
 - 121.537(f)

Related CFRs & FAA Policy/Guidance:

- Related CFRs:
Intentionally left blank
- FAA Policy/Guidance:
FAA Order 8900.1, Vol 3, Ch 25, Sec 1
FAA Order 8900.1, Vol 6, Ch 2, Sec 22

EPI Section 1 - Performance Observables

Objective: The tasks and questions in this section of the data collection tool (DCT) are designed to assist the inspector in determining if the certificate holder follows its written procedures and controls and meets the established performance measures of the process. To accomplish this, questions have been generated to test both the outputs of the process as well as the process itself. Question 1 and its following subquestions are directed at the output(s) of the process, whereas questions 2-6, when answered, should be directed at the process itself.

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
1.	Review the information listed in the Supplemental Information section of this DCT.
2.	Review the certificate holder's policies, procedures, instructions, and information for the Other Personnel with Operational Control process.
3.	Review the last accomplished associated safety attribute inspection (SAI) for this element with emphasis on the controls, process measurements, and interface attribute section responses.
4.	Observe the certificate holder's Other Personnel with Operational Control process to gain an understanding of the procedures, instructions, and information.
5.	Discuss the Other Personnel with Operational Control process with the personnel (other than management) who perform the duties and responsibilities required by the process.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Determine whether the following performance measures were met:	
1.1.	Was the individual exercising operational control during supplemental operations authorized by the certificate holder? <i>Related Performance JTIs:</i> 1. Check at the Certificate Holder's corporate headquarters that it has identified one person that has overall responsibility for Operational Control in accordance with Certificate Holder's design. <i>Sources:</i> FAA Order 8900.1, Vol 3, Ch 6, Sec 3, Para 3-1921B4	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
2.	Were the certificate holder's policies, procedures, and instructions for the Other Personnel with Operational Control process, followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
3.	Were the Other Personnel with Operational Control process controls followed?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
4.	Did the records for the Other Personnel with Operational Control process comply with the instructions provided by the certificate holder?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
5.	Were the process measurements for the Other Personnel with Operational Control process effective in identifying problems or potential problems and providing corrective action for them?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain
6.	Did personnel properly handle the associated interfaces by complying with other written policies, procedures, and instructions that are related to this element?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

EPI Section 1 - Performance Observables Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Procedures, policies or instructions or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.
10.	Desired Outcome.
11.	Other.

EPI Section 2 - Management Responsibility & Authority Observables

Objective: The questions in this section address the responsibility and authority of the process. They are designed to assist the inspector in determining if there is a clearly identifiable, qualified, and knowledgeable person who is responsible for the process, is answerable for the quality of the process, and has the authority to establish and modify the process. (The person with the authority may or may not be the person with the responsibility.)

Tasks

	To meet this objective, the inspector must accomplish the following tasks:
	NOTE: If no personnel or major program changes (as defined by the principal inspector (PI)) affecting the responsibility or authority attributes for this element have occurred since the last SAI and/or EPI was accomplished, then do not perform tasks 3-6, below. Answer questions 1 and 2, below, and provide the name/title.
1.	Identify the person who has overall responsibility for the Other Personnel with Operational Control process.
2.	Identify the person who has overall authority for the Other Personnel with Operational Control process.
3.	Review the duties and responsibilities for those who manage the Other Personnel with Operational Control process.
4.	Review the appropriate organizational chart.
5.	Discuss the Other Personnel with Operational Control process with the management personnel identified in tasks 1 and 2.
6.	Evaluate the qualifications and work experience of the management personnel identified in tasks 1 and 2.

Questions

	To meet this objective, the inspector must answer the following questions:	
1.	Is there a clearly identified person who is responsible for the quality of the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
2.	Is there a clearly identified person who has authority to establish and modify the certificate holder's policies, procedures, instructions, and information for the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain Name/Title:
3.	Does the responsible person know that he/she has responsibility for the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
4.	Does the person with authority know that he/she has authority for the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
5.	Does the person with responsibility for the Other Personnel with Operational Control process meet the qualification standards?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
6.	Does the person with authority to establish and modify the Other Personnel with	<input type="checkbox"/> Yes

	Operational Control process meet the qualification standards?	<input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
7.	Does the person with responsibility understand the controls, process measurements, and interfaces associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
8.	Does the person with authority understand the controls, process measurements, and interfaces associated with the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
9.	Does the responsible person know who has authority to establish and modify the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change
10.	Does the individual with authority know who has the responsibility for the Other Personnel with Operational Control process?	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> No Change

EPI Section 2 - Management Responsibility & Authority Observables Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand procedures, policies or instructions and information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.